

12/18/00  
976 U.S. PTO

12-20-00

Attorney Docket No. 2003-0001.20 A

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
Certification under 37 CFR §1.10 (if applicable)

EL 530 373 923 US  
Express Mail Label Number

December 18, 2000  
Date of Deposit

I hereby certify that this Transmittal Letter, enclosed application and any other documents referred to as enclosed herein, are being deposited in an envelope with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR §1.10 on the date above and addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Deborah H. Brockmeyer  
(Print Name of Person Mailing Application)

*Deborah H. Brockmeyer*  
(Signature of Person Mailing Application)

976 U.S. PTO  
09/740615  
12/18/00

Transmittal of Divisional Patent Application  
for Filing Under 37 CFR §1.53(b)

Box Patent Application  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir: Transmitted herewith for filing is a patent application by inventor(s):  
Sheldon Schultz, David A. Schultz, David R. Smith, Jack J. Mock, and  
entitled:

**PLASMON RESONANT PARTICLES, METHODS AND APPARATUS**

1. Enclosed are:
- ☒ One stamped, self-addressed postcard for PTO datestamp.
  - ☒ Certificate of Express Mail.
  - ☒ One utility patent application containing text pages 1-70 and
  - ☒ Copy of executed Declaration of Inventorship from parent application  
Serial No. 09/027,048.
  - ☒ 10 Sheets of formal drawings.
  - ☒ A Preliminary Amendment.
2. Amendment
- ☒ Please enter the enclosed Preliminary Amendment before calculating the filing fee. It is understood that only amendments reducing the number of claims will be entered for this purpose.
  - ☒ Please cancel original claims 1-18, inclusive, before calculating the filing fee. (At least one original independent claim should be retained for filing purposes.)
3. Extension of Time
- ☐ A petition for extension of time has been filed in the parent to extend the pendency of the parent to ± (copy enclosed).
  - ☒ Conditional Petition for Extension of Time: An Extension of Time is requested to provide for timely filing if required to establish copendency with the parent after all papers filed herewith have been considered.
4. U.S. Priority
- ☒ This application is a division of Serial No. 09/027,048 filed February 20, 1998, which claims priority of U.S. Provisional Serial No. 60/038,677, filed February 20, 1997, now abandoned, both of which are incorporated in their entirety herein by reference.

5. Foreign Priority

- ☐ Priority of Application No. \* filed in \* on \* is claimed under 35 USC §119.
- ☐ A certified copy of this priority document is enclosed.

6. Prior Documents Still In Effect

- ☒ This application and parent application Serial No. 09/027,048 filed February 20, 1998 are assigned of record to The Regents of the University of California, as recorded in the U.S. Patent and Trademark Office at Reel 9369 and Frame 0254.
- ☒ Power of Attorney in the above-identified prior application is to Peter J. Dehlinger, Reg. No. 28,006, and the other attorneys or agents identified therein.

7. Entity Status

- ☐ Large entity status applies to this application.
- ☒ Small entity status is proper under 37 CFR 1.28(a) in light of the Small Entity Statement(s) submitted in parent App. No. 09/027,048 on October 23, 2000.

8. Fees

The filing fee has been calculated taking into account any amendments in section 2 above:

For:	(Col. 1) No. Filed	(Col. 2) No. Extra	Small Entity			Other Than a Small Entity	
			Rate	Fee		Rate	Fee
Basic Fee				\$355.00	or		\$710.00
Total Claims	11 * - 20	0	0 x \$ 9 =	\$ 00.00	or	x \$ 18 =	\$
Independent Claims	1 - 3	0	0 x \$40 =	\$ 00.00	or	x \$ 80 =	\$
<input type="checkbox"/> Multiple Dependent Claim Presented			+ \$135 =	\$135.00	or	+ \$270 =	\$
* If the difference in Col. 1 is less than zero, enter "0" in Col. 2.							\$
			TOTAL	\$490.00	or	TOTAL	

- ☒ A check in the amount of \$490.00 is enclosed to cover the Filing Fee. The Commissioner is hereby authorized to charge any deficiency in fees under 37 CFR 1.16 and 1.17 to Deposit Account 04-0531.
- ☐ Please charge the Filing Fee and any other fees necessary for timely filing of this application to Deposit Account 04-0531
- ☐ \*Filing fee to be submitted in response to anticipated receipt of Notice to File Missing Parts. DO NOT CHARGE DEPOSIT ACCOUNT.

Respectfully submitted,

*Peter J. Dehlinger*  
 Peter J. Dehlinger  
 Registration No. 28,006

Date: 12-18-2000

Correspondence Address:

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 Phone: 650 324-0880

Attorney Docket No. 2003-0001.20

Patent

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**Deborah H. Brockmeyer**

(Print Name of Person Mailing Application)

*Deborah H. Brockmeyer*

(Signature of Person Mailing Application)

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